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SECTION 2  
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PATENT

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

ALFRED S. LEWIN

LYNN C. SHAW

MARIA B. GRANT

Group Art Unit: 1632

Examiner: Unknown

Serial No.: 09/847,601

Atty. Dkt. No.: 4300.014100

Filed: May 1, 2001


For: ADENO-ASSOCIATED VIRUS-  
DELIVERED RIBOZYME  
COMPOSITIONS AND METHOD FOR  
THE TREATMENT OF RETINAL  
DISEASES

**RESPONSE TO 37 C.F.R. § 1.53(F) NOTICE**

**BOX MISSING PART**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

CERTIFICATE OF MAILING 37 C.F.R. 1.8	
I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:	
September 12, 2001	
Date	Mark D. Moore

In response to the Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(f), dated July 12, 2001, there are enclosed herewith:

- (a) Declaration executed on behalf of Alfred S. Lewin, Lynn C. Shaw and Maria B. Grant;
- (b) A Power of Attorney on behalf of the University of Florida;
- (c) A Declaration Claiming Small Entity Status executed on behalf of the University of Florida;

- (d) Our check in the amount of \$1153.00 to cover the fees for a small entity, as follows: basic filing fee (\$355.00); surcharge for late filing (\$65.00); fee for additional claims over 20 (\$333.00); and fee for additional independent claims over 3 (\$400.00);
- (e) Substitute drawings in compliance with 37 C.F.R. § 1.84;
- (f) a Preliminary Amendment;
- (g) a paper copy of the Sequence Listing;
- (h) a computer readable form (CRF) copy of the Sequence Listing;
- (i) a statement that the content of the paper copy and computer readable copy of the Sequence Listing are the same, and include no new matter as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d); and
- (j) A copy of Notice to File Missing Parts of Nonprovisional Application.

Also enclosed is an Information Disclosure Statement.


An Assignment to the University of Florida and a check for \$40.00 are being filed under separate cover.

If the check is inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Assistant Commissioner is authorized to deduct or credit said fees from or to Williams, Morgan & Amerson, P.C. Deposit Account No. 50-0786/4300.014100.

Please date stamp and return the accompanying postcard to evidence receipt of these documents.

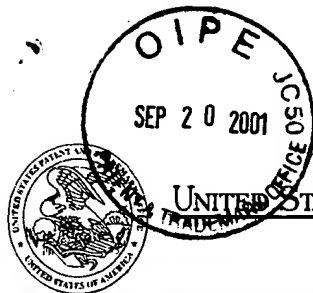
Respectfully submitted,

Date: September 12, 2001

A handwritten signature in black ink, appearing to read "Mark D. Moore", written over a horizontal line.

Mark D. Moore  
Reg. No. 42,903  
WILLIAMS, MORGAN & AMERSON  
7676 Hillmont, Suite 250  
Houston, Texas 77040  
(713) 934-4084  
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AGENT FOR APPLICANTS



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/847,601	05/01/2001	Alfred S. Lewin	4300.014100

CONFIRMATION NO. 7183

## FORMALITIES LETTER



\*OC000000006285818\*

Mark D. Moore, Williams,  
Morgan & Amerson, P.C.  
Suite 250  
7676 Hillmont  
Houston, TX 77040

Date Mailed: 07/12/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$666.
  - \$666 for 37 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1506.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawings contain excessive text. Suitable descriptive legends may be used, or may be required by the Examiner where necessary for understanding of the drawing but should contain as few words as possible ( see 37 CFR 1.84(o));
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May

15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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*A copy of this notice MUST be returned with the reply.*



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Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY